

02-14-02

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PTO/SB/05 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Application Number

First Inventor

Craig Jon HAWKER et al.

Title

Substrates Prepared by
Chemical Amplification of
Self-Assembled Monolayers
with Spatially Localized
Polymer Brushes (as
amended herein)

Attorney Docket Number

5075-0017.10

PTO
10
074195

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

Commissioner for Patents
Box Patent Application
Washington, DC 20231

ADDRESS TO:

- Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
- Applicant claims small entity status.
See 37 CFR 1.27.
- Specification [Total Pages 35]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table,
or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- 4. ■ Drawing(s) (35 U.S.C. 113) [Total Sheets 3]
- 5. ■ Oath or Declaration [Total Pages 6 (two sets)]
 - a. □ Newly executed (original or copy)
 - b. ■ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
 - i. □ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
- 6. □ Application Data Sheet. See 37 CFR 1.76

- 7. □ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
- 8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable)
 - a. □ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. □ CD-ROM or CD-R (2 copies); or
 - ii. □ paper
 - c. □ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- 9. □ Assignment Papers (cover sheet & document(s))
- 10. □ 37 CFR 3.73(b) Statement □ Power of Attorney
(when there is an assignee)
- 11. □ English Translation Document (if applicable)
- 12. ■ Information Disclosure □ Copies of IDS
Statement (IDS)/PTO-1449 Citations
- 13. ■ Preliminary Amendment
- 14. ■ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
- 15. □ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
- 16. ■ Other: Blanket Petition

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

- ☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/261,300, filed 3/2/99
 Prior application information: Examiner: K. Crockford Group / Art Unit: 1763
☐ This application claims priority to Provision Application Serial No. *, filed *.

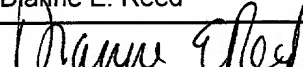
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☐ Customer Number of Bar Code Label

or ☒ Correspondence address below

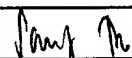
(Insert Customer No. or Attach bar code label here)

Name	Dianne E. Reed				
Address	REED & ASSOCIATES				
	800 Menlo Avenue, Suite 210				
City	Menlo Park	State	CA	Zip Code	94025
Country	USA	Telephone	(650) 330-0900	Fax	(650) 330-0980
Name (Print/Type)	Dianne E. Reed	Registration No. (Attorney/Agent)	31,292		
Signature				Date	2/11/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commission for Patents, Box Patent Application, Washington, DC 20231.

CERTIFICATE OF MAILING OR TRANSMISSION

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated below and is addressed to "Commissioner for Patents, Box Patent Application, Washington, DC 20231."

"Express Mail" Mailing Label No.	EL910311316US	Date of Deposit	February 11, 2002
Name of Person Mailing Paper or Fee(Print/Type)	Sam Pen		
Signature		Date	February 11, 2002

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated below and is addressed to the Commissioner for Patents, Washington, DC 20231.

(Modified) PTO/SB/05 (12/97)

"Express Mail" Mailing Label No.: EL910311316US

Date of Deposit: February 11, 2002

Type/Printed Name of Person Mailing Paper or Fee: Sam Pen

Signature of Person Mailing Paper or Fee: [Signature]

FEE TRANSMITTAL

Note: Effective October 1, 1997.
Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT \$740

Complete if Known	
Application Number	
Filing Date	Filed Herewith
First Named Inventor	Craig Jon HAWKER et al.
Group Art Unit	Not Assigned Yet
Examiner Name	Not Assigned Yet
Attorney Docket Number	5075-0017.10

METHOD OF PAYMENT (check one)

1. ☒ The commissioner is hereby authorized to charge any additional fees and credit any overpayments to:
Deposit Account No.: 18-0580
Deposit Account Name: REED & ASSOCIATES

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☐ Charge the Issue Fee set in 37 CFR 1.18 at the mailing of the Notice of Allowance

2. ☒ Payment Enclosed:
☒ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Due
101	740	201	370	Utility filing fee	\$740
102	330	206	165	Design filing fee	
104	510	207	255	Plant filing fee	
109	740	208	370	Reissue filing fee	
110	150	214	75	Provisional filing fee	
SUBTOTAL (1)					\$740

2. CLAIMS

		Fee from		Fee Due	
Total Claims	Extra	below			
16 - 20 =	0	X	18		\$0
Independent Claims					
1 - 3 =	0	X	84		\$0
Multiple Dependent Claims	0	X			\$0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Due
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent Claims in excess of 3	
104	280	204	140	Multiple Dependent Claim	
109	84	209	42	Reissue independent claims over original patent	
110	18	210	9	Reissue claims in excess of and over original patent	
SUBTOTAL (2)					\$0

FEE CALCULATION (continued)

Larg e Fee Code	Entit y Fee (\$)	Small Fee Code	Entit y Fee (\$)	Fee Description	Fee Due
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	180	Submissions of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify)					
Other fee (specify)					
*Reduced by Basic Filing Fee Paid					
SUBTOTAL (3)					\$0

SUBMITTED BY

Typed or Printed Name				Complete (if applicable)	
Dianne E. Reed				Reg. Number	31,292
Signature <u>[Signature]</u>				Date	2/11/02
				Deposit Account	18-0580

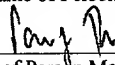
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IBM No. AM9-98-159DIV
PATENT

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Date of Deposit: February 11, 2002

Sam Pen
Printed Name of Person Mailing Paper or Fee


Signature of Person Mailing Paper or Fee

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Craig Jon HAWKER et al.

Divisional of Serial No.: 09/261,300

Group Art Unit: Unassigned

Filing Date: Concurrently herewith

Examiner: Unassigned

Title: SUBSTRATES PREPARED BY CHEMICAL AMPLIFICATION OF
SELF-ASSEMBLED MONOLAYERS WITH SPATIALLY LOCALIZED POLYMER
BRUSHES (as amended herewith)

BLANKET PETITION FOR EXTENSION OF TIME AND AUTHORIZATION TO CHARGE OR CREDIT DEPOSIT ACCOUNT

Commissioner for Patents
Washington, DC 20231

Sir:

If a paper is untimely filed in this application or any continuation or divisional application derived therefrom by applicant(s) or her/his/their representative, the Commissioner is hereby petitioned under 37 CFR § 1.136(a) for the minimum extension of time required to make said paper timely. In the event a petition for extension of time is made under the provisions of this paragraph, the Commissioner is hereby requested to charge any fee required under 37 CFR § 1.17(a)-(d) to Deposit Account No. 18-0580. This, however, is not authorization to pay the issue fee. **A duplicate copy of this sheet is attached.**

If a paper is concurrently or subsequently filed in this application or any continuation or divisional application derived therefrom by applicant(s) or her/his/their representative and a fee under 37 CFR §§ 1.16-1.17 is required to effect any amendment, petition or other action requested in said paper, the Commissioner is hereby requested to charge any deficiency in said

fee, or credit any overpayment of said fee, to Deposit Account No. 18-0580. This, however, is not authorization to pay the issue fee.

Respectfully submitted,

2/11/02
Date

By: Dianne E. Reed
Dianne E. Reed
Registration No. 31,292

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